

DISCLOSURE DIVISION

TB
G

DATE: 2/27/2020

- ☒ WAIVER REQUEST
☐ ANSWER
☐ RECONSIDERATION REQUEST

DOCKET #:

Ashley Wimberley, Director
Disclosure Division

FILER INFORMATION

Name: Heather A Stefan
Address: 14747 Town Dr, Baton Rouge, LA 70810
Office/Position: Work Force Development Board / #21
Dates of Service: 2010, 2015, 2017-2018
Number of Disclosures and/or Amendments Filed with Agency: 4

REPORT INFORMATION

Name of Report: Tier 2.1 Annual Personal Financial Disclosure covering calendar year 2017
Report ID: PFD20000518
Original Due Date: 5/15/2018
NOD Received: 11/23/2019 - Signed by: A. Stefan
PFD/Answer Due Date based on NOD: 12/5/2019
PFD/Answer Filed: 1/21/2020

LATE FEE INFORMATION

Amount of Late Fee: \$1500
Days late from receipt of NOD: 47
Total days late from initial due date: 616
Late Fee Order Received: 2/1/2020
Payment/Waiver Request Due Date: 2/21/2020
Waiver Request Received: 2/17/2020

COMMENTS:

Heather A. Stefan is requesting a waiver for the late filing of her 2017 Annual PFD. Ms. Stefan stated the Work Force Development Board normally, reminds board members repeatedly about submitting the Financial Disclosure Statement. However, due to staff issues she only received one reminder that year via email and no one at the board brought it to her attention thereafter.

Ms. Stefan stated it took the state 2 years to bring her accidental failure to file to her attention; and she believes it is fair to grant her a Waiver. Ms. Stefan stated she was diagnosed with cancer in 2017, which forced her to miss meetings when reminders may have been provided in person. She missed almost three months of work non-consecutively due to her diagnosis and during that time her focus was on her health.

Ms. Stefan stated the NOD received in November, 2019 was received by one of her children, who placed the letter where she normally does not put the mail; and as a result, she did not find the notice until after the holidays. She stated she never missed submitting a financial disclosure before or since then. Ms. Stefan stated she does not have the funds to pay the \$1500 late fee; paying this late fee would be a significant hardship on her.

- Info. requested
- 4/16/20 stated she could submit after stay order lifted
- will resend after July sm.

OTHER LATE FEE INFORMATION

Disclosure Statements:

- Other Outstanding Statements: No
- Other Outstanding Late Fees: No
- Prior Late Fees: No
- Reassessed Late Fees: No

Campaign Finance:

- Outstanding Late Fees: No
- Prior Late Fees: No

AW

February 17, 2020

RE: PFD20000518


To LA Board of Ethics:

I received an assessment in the amount of \$1,500 due to a late submission of my 2017 Financial Disclosure Statement for my former appointment to WDB 21. I am officially requesting a waiver for the following reasons:

1. Normally, WDB 21 reminds board members repeatedly about submitting the Financial Disclosure Statement. I only received one reminder that year via email, most likely due to staff upheaval. No one at WDB 21 ever brought it to my attention again. Further, it took the State two years to bring my accidental failure to submit to my attention. Considering it took two years to follow up with me about it, I believe it's fair to grant a waiver since I only missed the deadline for the original notification by about 30 days.
2. I was diagnosed with cancer in 2017, which forced me to miss meetings when reminders may have been stated in person. In fact, I missed almost three months of work non-consecutively due to my diagnosis. It's fair to say my focus was elsewhere that year.
3. The notice I received about the failure to submit my 2017 disclosure statement arrived sometime in late November, 2019. One of my kids got it from the mailbox and put it in a place we don't normally put our mail. As a result, I didn't even find the notice until after the holidays. In the meantime, I resigned from WDB 21. As soon as I discovered it, I uploaded the disclosure on January 21, 2020.
4. My financial disclosures have never changed since I had to start submitting them. I have never had any conflicts of interest whatsoever, and I have never missed submitting a financial disclosure before or since.
5. I do not have the money to pay the fee, and it would be a significant hardship for me to be able to come up with it.

Please seriously consider this request. I greatly appreciate your assistance and understanding of this matter.

Sincerely,


Heather A. Stefan
ETICS BOARD REC'D
225-752-4838
FEB 17 20 PM 3:22



STATE OF LOUISIANA
DEPARTMENT OF STATE CIVIL SERVICE
LOUISIANA BOARD OF ETHICS
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BATON ROUGE, LA 70821
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1-800-842-6630
www.ethics.la.gov

March 17, 2020

Heather A Stefan
14747 Town Dr
Baton Rouge, LA 70810

RE: Request for Additional Information
Tier 2.1 Annual Personal Financial Disclosure Statement
Report ID# PFD20000518
Waiver Request

Dear Heather A Stefan:

On February 17, 2020, you requested a waiver of the \$1,500 late fee that was issued in connection with the filing of the above referenced disclosure statement.

In your request, you state that you were diagnosed with cancer in 2017 and missed almost three months of work non-consecutively and that the assessed late fee would create a financial hardship. If you would like the Board to consider the request as stated, you must provide documentation to support and verify your claim. The documentation must be received by this agency on or before **April 16, 2020**.

If you have any questions, or need clarification on what to submit, you may contact me at 1-800-842-6630 or 225-219-5600.

Sincerely,

Tracy Barker
Deputy General Counsel